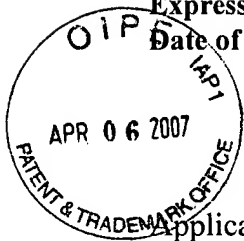


Express Mail No.: EV 538966661 US

Date of Deposit: April 6, 2007

Attorney Docket No. 24309-501



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Mark Hoffman *et al.*  
Serial No.: 09/696,762  
Filed: October 25, 2000  
For: INVESTMENT ADVICE SYSTEMS AND METHODS

Examiner: Nguyen, Nga B.  
Art Unit: 3692

Mail Stop ISSUE FEE  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**TRANSMITTAL LETTER**

Enclosed for filing in the above-identified patent application, please find the following listed items:

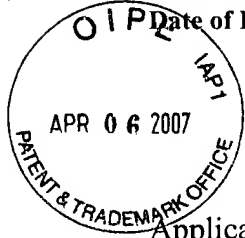
1. Response to File Corrected Application Papers (1 page);
2. Copy of Notice to File Corrected Application Papers (2 pages);
3. Amendment under the Waiver of 37 CFR 1.312 (3 pages);
4. Replacement Drawings, Figs. 1-5, 8A-8H, 10-17C and 20 (24 sheets); and
5. Return Postcard.

In connection with the foregoing matter, please charge any additional fees which may be due, or credit any overpayment, to Deposit Account Number 50-0311, Reference No. 24309-501. A duplicate copy of this letter is provided for this purpose. If the enclosed papers are considered incomplete, the Mail Room is respectfully requested to contact the undersigned collect at (617) 542-6000, Boston, Massachusetts.

Dated: April 6, 2007

Respectfully submitted,

T.J. Clark, Esq.  
Registration No. 54,039  
Attorney(s) for Applicants  
MINTZ, LEVIN, COHN, FERRIS,  
GLOVSKY and POPEO, P.C.  
Tel: (617) 542-6000  
Fax: (617) 542-2241  
Customer No.: 30623



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Mark Hoffman *et al.*  
Serial No.: 09/696,762  
Filed: October 25, 2000  
For: INVESTMENT ADVICE SYSTEMS AND METHODS

Examiner: Nguyen, Nga B.  
Art Unit: 3692

---

Mail Stop ISSUE FEE  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**RESPONSE TO NOTICE TO FILE CORRECTED APPLICATION PAPERS**

The present paper is filed in response to the Notice to File Corrected Application Papers, dated April 3, 2007, for the present application. An amendment in accordance with 37 CFR 1.121, and under the waiver of 37 CFR 1.312 indicated on the Notice, is included with this Response. The amendment is limited to the correction of the informalities indicated in the Notice and does not introduce new matter.

The Commissioner is hereby authorized to charge any additional fees that may be due, or to credit any overpayment, to Account 50-0311, Ref. No. 24309-501.

Respectfully submitted,

---

T.J. Clark, Registration No. 54,039  
Attorneys for Applicants  
Mintz, Levin, Cohn, Ferris,  
Glovsky and Popeo, P.C.  
**Customer Number 30623**  
Telephone 617/542-6000  
Facsimile 617/ 542-2241

Dated: April 6, 2007



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents  
United States Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450  
www.uspto.gov

Application No. : 09/696,762  
Applicant : Hoffman et al.  
Filing Date : 10/25/00  
Date Mailed : 4/3/07

## NOTICE TO FILE CORRECTED APPLICATION PAPERS

### *Notice of Allowance Mailed*

This application has been accorded an Allowance Date and is being prepared for issuance. The application, however, is incomplete for the reasons below.

Applicant is given 60 days from the mail date of this Notice within which to correct the informalities indicated below. If the informality pertains to the abstract, specification (including claims) or drawings, the informality must be corrected with an amendment in compliance with 37 CFR 1.121 (or, if the application is a reissue application, 37 CFR 1.173). Such an amendment may be filed after payment of the issue fee if limited to correction of informalities noted herein. See Waiver of 37 CFR 1.312 for Documents Required by the Office of Patent Publication, 1280 Off. Gaz. Patent Office 918 (March 23, 2004). In addition, if the informality is not corrected until after payment of the issue fee, for purposes of 35 U.S.C. 154(b)(1)(iv), "all outstanding requirements" will be considered to have been satisfied when the informality has been corrected. A failure to reply will result in the application being ABANDONED. **This period for reply is NOT extendable under 37 CFR 1.136(a).**

See attachment.

*A copy of this notice **MUST** be returned with the reply. Please address response to  
"Mail Stop Issue Fee, Commissioner for Patents,  
P.O. Box 1450, Alexandria, VA 22313-1450".*

Dale G. Olson  
Office of Patent Publication  
Phone: 703-308-9250 ext.122



Application No. 09/696,762 Drawings filed 10-25-00

### IDENTIFICATION OF DRAWING DEFICIENCIES

- ☒ There is a hole or the image thereof within the illustration. FIG(s) 1
- ☒ The character of the lines, numbers and letters is poor. FIG(s) 1-5, 8A-8H, 10-17C and 20
- ☐ The illustration is penetrated or traversed by a solid or broken line that is not intended to be part of the drawing, such as a dark line caused by a flaw in the copying process. FIG(s) \_\_\_\_\_
- ☐ An ink stamp or an image obscures part of the illustration. FIG(s) \_\_\_\_\_
- ☒ The drawing is marred by black smudges, obliterations, or fax/copier marks. FIG(s) 4
- ☐ Figure numbers are duplicated or missing. FIG(s) \_\_\_\_\_
- ☐ Numbers, letters, or reference characters in the drawing have been crossed out by hand or are illegibly handwritten. FIG(s) \_\_\_\_\_
- ☐ The drawing's background shows that the original drawing was made on graph paper or other paper with a pattern or decoration. FIG(s) \_\_\_\_\_
- ☐ The FIG. number label is placed in a location that causes the drawing to be read upside down. FIG(s) \_\_\_\_\_
- ☐ Data, a reference number, or part of the drawing is truncated or missing. FIG(s) \_\_\_\_\_
- ☐ The drawing is continued onto a second page (or more) without proper labeling under 37 CFR 1.84(u)(1). FIG(s) \_\_\_\_\_
- ☐ The drawing and/or the FIG. label contain(s) foreign language. FIG(s) \_\_\_\_\_
- ☐ Color drawings are present in this application but the following 37 CFR 1.84(a) requirements have not been met\*:
- ☐ Petition filed
  - ☐ Petition fee
  - ☐ 3 sets of color drawings
  - ☐ Color drawing paragraph

\*If color drawings are not elected, then applicant **must respond** so stating. Also, references to color drawings in the specification, if any, must be amended.

COMMENTS: